

Express Mail Label No.: EU282823837US  
Date of Deposit: October 3, 2002



PATENT APPLICATION  
Attorney Docket No.: 24631-501

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT(S): Harry A. Kaplan *et al.* ART UNIT: 2164  
SERIAL NO.: 10/043,899 EXAMINER: NOT YET ASSIGNED  
FILING DATE: January 11, 2002  
FOR: ANONYMOUS AUCTIONING OF STRUCTURED FINANCIAL PRODUCTS  
OVER A COMPUTER NETWORK

October 3, 2002  
Boston, Massachusetts

BOX IDS

Commissioner for Patents  
Washington, D.C. 20231

TRANSMITTAL LETTER

Sir:

Transmitted herewith for filing in the present application are the following documents:

- ☒ Information Disclosure Statement (2 pages);
- ☒ Modified Form 1449/PTO (1 page) in duplicate;
- ☒ Copies of References A1-A5; and
- ☒ Return Postcard.

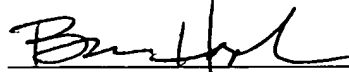
The Commissioner is hereby authorized to charge any additional fees that may be due to Deposit Account No. 50-0311, Reference No. 24631-501. A duplicate copy of this transmittal letter is enclosed.

If the enclosed papers are considered incomplete, the Mail Room and/or the Application Branches respectfully requested to contact the undersigned at 212/692-6803, New York, New York.

A duplicate copy of this transmittal letter is enclosed.

Date: October 3, 2002

Respectfully submitted,

  
Brian P. Hopkins, Reg. No. 42,669  
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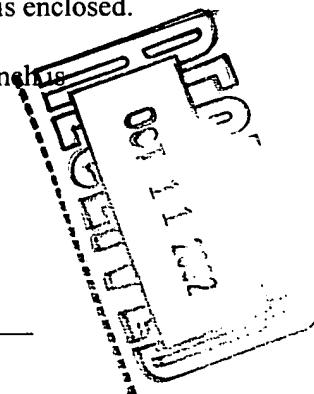


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Attorney Docket No. 24631-501

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANTS: Harry A.Kaplan *et al.*  
SERIAL NUMBER: 10/043,899 EXAMINER: Not Yet Assigned  
FILING DATE: January 11, 2002 ART UNIT: 2164  
FOR: ANONYMOUS AUCTIONING OF STRUCTURED FINANCIAL  
PRODUCTS OVER A COMPUTER NETWORK

**Box IDS**  
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Washington, D.C. 20231

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October 3, 2002  
Boston, Massachusetts

**INFORMATION DISCLOSURE STATEMENT**

Pursuant to the duty of disclosure under 37 C.F.R. §§1.56, 1.97 and 1.98, Applicants hereby make of record the documents listed on the enclosed modified Form PTO-1449 (submitted in duplicate) in the above-identified application which were cited in the International Search Report date of mailing September 12, 2002. The order of presentation of the references should not be construed as an indication of the importance of the references.

This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits in the above-identified case. Accordingly, no fee or certification is required. 37 C.F.R. §1.97.

A copy of each of the references is enclosed unless otherwise indicated on the attached Form PTO-1449 (modified). It is respectfully requested that the Examiner consider the cited information, along with any other information, in reaching a determination concerning the patentability of the present claims, and signs the enclosed form PTO-1449 to evidence that the cited information has been fully considered by the Patent and Trademark Office during the examination of this application.

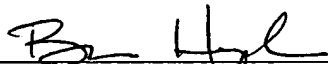
By submitting this Information Disclosure Statement, the Applicants make no representation that: (1) a search has been performed, of the extent of any search performed, or that more relevant information does not exist; (2) the information cited in the Statement is, or is

APPLICANTS: Harry A. Kaplan et al.  
U.S.S.N.: 10/043,899

considered to be, material to patentability as defined in 37 C.F.R. §1.56(b); and (3) the information cited in the Statement is, or is considered to be, in fact, prior art as defined by 35 U.S.C. §102.

Notwithstanding any statements by the Applicants, the Examiner is urged to form his/her own conclusion regarding the relevance of the cited information. An early and favorable action is hereby requested. Please charge any fees that may be due, or credit any overpayment of same, to Deposit Account No. 50-0311, Reference No. 24631-501.

Respectfully submitted,

  
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Dated: October 3, 2002

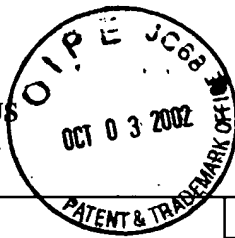


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Modified Form 1449/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)	<b>Application Number</b>	10/043,899
	<b>Filing Date</b>	January 11, 2002
	<b>First Named Inventor</b>	Harry A. Kaplan, <i>et al.</i>
	<b>Group Art Unit</b>	2164
	<b>Examiner Name</b>	Not Yet Assigned
	<b>Attorney Docket Number</b>	24631-501

U.S. PATENT DOCUMENTS							
Exam Initials	Cite No.	U.S. Patent Document No.	Issue Date	Name of Patentee(s) or Applicant(s)	Class	Sub Class	Filing Date If Appropriate
	A1	5,136,501	08/04/92	Silverman et al.	364	408	
	A2	2002/0091624 A1	07/11/02	Glodjo et al.	705	37	
	A3	2002/0087453 A1	07/04/02	Nicolaisen et al.	705	37	
	A4	2002/0035534 A1	03/21/02	Buist et al.	705	37	
	A5	2002/0032632 A1	03/14/02	Sernet	705	37	

FOREIGN PATENT DOCUMENTS					
Exam Initials	Cite No.	Foreign Patent Document Office Number	Name of Patentee(s) or Applicant(s)	Date of Publication	Translation Yes No

OTHER NON PATENT LITERATURE DOCUMENTS		
Exam Initials	Cite No.	Name of Author, Title (when appropriate), Publication, Volume, Page(s), Date, Etc.
	C1	International Search Report for PCT/US02/00684, mailed 12 September 2002

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\* a copy of this reference is not provided as it was previously cited by or submitted to the office in a prior application, U.S.S.N. \_\_\_\_\_, filed \_\_\_\_\_, and relied upon for an earlier filing date under 35 U.S.C. §120 (continuation, continuation-in-part, and divisional applications).

Examiner Signature		Date Considered	
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered.

Include copy of this form with next communication to applicant.



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